



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

PATENT

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JUL 17 2001

TECH CENTER 1600/2900

Docket No.: 98-039B  
TDR/bk

In re Application of:  
Glenn R. Carlson et al.

Serial No. 09/832,500 : Group Art Unit: 1642

Filed: April 11, 2001 : Examiner: Not yet assigned

For: **LIGANDS FOR MODULATING THE EXPRESSION OF EXOGENOUS  
GENES VIA AN ECDYSONE RECEPTOR COMPLEX**

Assistant Commissioner for Patents  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with Applicants' duty of disclosure under 37 CFR §§ 1.97 to 1.98, Applicants submit herewith copies of the documents listed on the enclosed form PTO-1449 "List of Art Cited by Applicant". Inclusion of a document in this Information Disclosure Statement and/or its attached form PTO-1449 is not intended to constitute an admission that any document so disclosed is "prior art" with respect to the present invention unless specifically so stated herein.

The filing of the Information Disclosure Statement shall not be construed to mean that a search has been made, or that no other material information, as defined in 37 CFR 1.56(a), exists.

In accordance with 37 CFR §1.98(a)(2), a copy of each item listed in the attached form PTO-1449 is included herewith.

The Examiner is requested to review the references cited herein and to make the references cited of record in the present application.

Respectfully submitted,

*Thomas D. Rogerson*

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Rohm and Haas Company  
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July 10, 2001



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**CERTIFICATE OF MAILING**

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on the date indicated next to my signature below:

Information Disclosure Statement  
List of Art Cited by Applicant (in duplicate)  
Copies of Cited Art  
Return Receipt Postcard

July 10, 2001  
Date

Becky Knauth  
Signature



## APPLICANTS' COPY

Sheet 1 of 1

## LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

Atty Docket No. 98-039 B	Serial No. 09/832,500
Applicant Glenn R. Carlson et al.	
Filing Date April 11, 2001	Group 1642

## U.S. Patent Documents

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
AA					
AB					
AC					
AD					
AE					
AF					
AG					
AH					
AI					
AJ					
AK					

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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
AL	WO 96/37609	11/28/96	PCT		
AM	WO 96/27673	9/12/96	PCT		
AN					
AO					
AP					

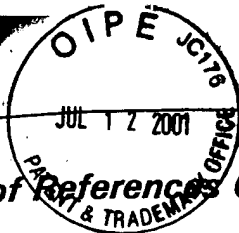
## OTHER ART (Including Author, Title, Date, Pertinent Patents, etc.)

AR	Yao, T-P. et al., "Functional Ecdysone Receptor is the Product of EcR and Ultraspiracle Genes," <i>Nature</i> , Vol. 366, pages 476-479, 1993.
AS	Yao, T-P. et al., "Drosophila Ultraspiracle Modulates Ecdysone Receptor Function via Heterodimer Formation," <i>Cell</i> , Vol. 71, pages 63-72, 1992.
AT	No, D. et al., "Ecdysone-Inducible Gene Expression in Mammalian Cells and Transgenic Mice," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 93, pages 3346-3351, 1996.

Examiner

Date Considered

\*EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.



# Notice of References Cited

Application No.  
09/315,451

Applicant(s)  
Carlson et al.

Examiner  
Robert Schwartzman

Group Art Unit  
1636

Page 1 of 1

## U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,530,028	6/1996	Lidert et al.	514	649
B					
C					
D					
E					
F					
G					
H					
I					
J					
K					
L					
M					

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## FOREIGN PATENT DOCUMENTS

*	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
x	N WO 96/27673	9/1996	PCT	Goff et al.	----	----
x	O WO 96/37609	11/1996	PCT	Jepson et al.	----	----
	P					
	Q					
	R					
	S					
	T					

## NON-PATENT DOCUMENTS

*	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
U	Trisyono et al. (1997) Effect of the nonsteroidal ecdysone agonists, methoxyfenozide and tebufenozide, on the European Corn Borer (Lepidoptera: Pyralidae). J. Econ. Entomol. 90:1486-1492.	12/1997
V		
W		
X		

\* A copy of this reference is not being furnished with this Office action.  
(See Manual of Patent Examining Procedure, Section 707.05(a).)